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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/668,213	09/22/2000	Ynjiun P. Wang	A-68940-5/DCA	9838

7590 02/23/2006

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EXAMINER
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SHERR, CRISTINA O

ART UNIT	PAPER NUMBER
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3621

DATE MAILED: 02/23/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 09/668,213	<b>Applicant(s)</b> WANG ET AL.	
	<b>Examiner</b> Cristina Owen Sherr	<b>Art Unit</b> 3621	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 29 November 2005.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-4, 7-11, 13-16 and 18-27 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-4, 7-11, 13-16 and 18-27 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

### **DETAILED ACTION**

1. This communication is in response to applicant's amendment filed November 29, 2005. Claims 1, 7, 13, and 18 have been amended. Claims 5, 6, 12, 17, have been canceled. Claim 27 has been newly added. Claims 1-4, 7-11, 13-16 and 18-27 are pending in this case.

### ***Response to Arguments***

2. Applicant's arguments filed November 29, 2005 have been fully considered but they are not persuasive.

3. Applicant argues, with respect to claims 1-4, 7-11, 13-16 and 18-26, that Ginter et al (US 6,892,900) does not disclose or teach a credit-card-like, portable device which a user can carry with him or herself all the time for payment or transaction authorization purpose. Rather, the applicant, argues, Ginter is always associated with a content, such as a movie signal which is encrypted and delivered to a user's home through either cable or satellite and the set-top box-like VDE machine will authenticate the user's identity and decrypt the movie signal and play back in user's TV or computer at home. The applicant argues, that, in contrast to Ginter, the instant application discloses a system whereby a user may, for example, buy a ticket over a portable electronic authorization device (PEAD), go to the movie theater with the PEAD, show evidence of purchase through the PEAD, and then consume (or watch, one would hope) the movie at the movie theater.

4. Attention is directed to Ginter at figure 71 or the following (regarding figure 71):

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Portable electronic appliance 2600 may provide a valuable and relatively simple means for a user to move permissions and methods between their (compatible) various electronic appliances 600, such as between a notebook computer, a desktop computer and an office computer. It could also be used, for example, to allow a consumer to visit a next door neighbor and allow that neighbor to watch a movie that the consumer had acquired a license to view, or perhaps to listen to an audio record on a large capacity optical disk that the consumer had licensed for unlimited plays (column 256, ln 21-31).

6. It would be obvious to one of ordinary skill in the art, that, just as the user may watch the movie at the neighbor's house, s/he may view the movie at a theater or anywhere else.

***Claim Rejections - 35 USC § 103***

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. Claims 1-4, 7-11,13-16 and 18-27 are rejected under 35 U.S.C. 103(a) as being unpatentable over Ginter et al (5,892,900).

9. Regarding claim 1 –

Ginter discloses a method for pushing a transaction request from an remote electronic transaction system running the xAgent to a portable electronic authorization device carried by a user for an electronic confirmation, comprising steps of: pushing a

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transaction request from the xAgent running at the remote electronic transaction system triggered by a pre-determined event; receiving at the portable electronic authorization device first digital data representing the transaction request; providing information to the user regarding an ability to approve or modify the transaction request performing approval and encryption of the transaction request within the PEAD; and when the transaction request is approved by the user, receiving at the electronic transaction system second digital data representing the electronic confirmation of the transaction requests; and wherein the receiving step is performed via a wireless communication port associated with the portable electronic authorization device (e.g. col 1 ln 40 – col 2 ln 55, col 254, ln 21-31)).

10. Ginter does not specifically disclose an xAgent, but does disclose a number of different agents, it stands to reason that many different agents could perform as in Ginter's disclosure.

11. Regarding claims 2-4 and 27 –

Ginter discloses the method of claim 1, wherein the pre-determined event is at least one of the stock price rises above a pre-determined percentage and the stock price falls below a pre-determined percentage; wherein the pre-determined event is the auction bidding price rises above user-defined price; wherein the pre-determined event is upon received a delivery, based on user identity performed entirely within the PEAD. (e.g. col 2 ln 20-55).

12. Regarding claim 7 –

Ginter discloses a portable electronic authorization device for approving a transaction request from a point-of-sale system, comprising a transceiver in the portable electronic authorization device configured to receive first digital data representing the transaction request; a display configured to provide information to the user regarding an ability to approve or modify the transaction request, a scanner configured to scan at least one of bar-code or OCR information; and a downloadable transaction program to enable the portable electronic authorization device to perform a transaction; wherein the transceiver is further configured such that when the transaction request is approved by the user, the transceiver is configured to transmit second digital data representing the electronic confirmation of the transaction request the means for performing the approval and encrypting the transaction approval being included within the PEAD (e.g. col 1 ln 40 – col 2 ln 55).

13. Ginter does not specifically disclose this configuration of portable device, but it stands to reason that any number of portable devices would serve to perform as in Ginter.

14. Regarding claims 8-11 –

Ginter discloses the portable electronic authorization device of claim 7, wherein: the scanner is configured to scan in barcode information to establish the communications link between the portable electronic authorization device and a Point-of-Sale terminal; wherein the scanner is at least one of a barcode or an OCR scanner; wherein the transceiver is at least one of an infrared, a Bluetooth or a wireless receiver; wherein the

scanner is configured to scan in barcode product information for self-checkout . (e.g. col 2 ln 20-55).

15. Regarding claim 13 –

Ginter discloses a method for xAgent automatic ordering from a remote merchant server using a portable electronic authorization device carried by a user, comprising the steps of entering product information at the portable electronic authorization device; accumulating the product information by tan xAgent running on the portable electronic authorization device; triggering xAgent automatic ordering upon user pre-defined event; receiving at the portable electronic authorization device a first digital data representing the transaction request; providing information to the user regarding an ability to approve the transaction request; when the transaction request is approved by the user, encrypting transaction approval data as second digital data representing approval by the user to purchase the item performing the approval and encryption of the transaction approval within the PEAD; and transmitting the second digital data to the electronic transaction system to approve the transaction request with the electronic transaction system (e.g. col 1 ln 40 – col 2 ln 55, col 254, ln 21-31, fig. 71).

16. Ginter does not specifically disclose an xAgent, but does disclose a number of different agents, it stands to reason that many different agents could perform as in Ginter's disclosure.

17. Regarding claim 14-16 –

Ginter discloses the method of claim 13, wherein the user pre-defined event can be at least one of a total order exceeding a pre-defined amount of dollars, an end of a week

occurring wherein the xAgent places orders accumulated during the week, and a bargaining price set by the user being found; wherein the step of entering the product information includes using the keypad of the portable electronic authorization device to enter at least one of a product code, product name, manufacturing number, and quantity; wherein the step of entering the product information includes using a scanner in the portable electronic authorization device to scan at least one of a product code, product name, manufacturing number, and quantity (e.g. col 2 ln 20-55).

18. Regarding claim 18 –

Ginter discloses a method for self-checkout between an electronic point of sale transaction system and a portable electronic authorization device carried by a user, comprising the steps of: entering product information at the portable electronic authorization device; establishing communication link between the electronic point of sale transaction terminal and the portable electronic authorization device; entering product information at the portable electronic authorization device; establishing communication link between the electronic point of sale transaction terminal and the portable electronic authorization device; receiving at the portable electronic authorization device a first digital data representing the transaction request; providing information to the user regarding an ability to approve the transaction request; when the transaction request is approved by the user, encrypting transaction approval data as second digital data representing approval by the user to purchase the item; and transmitting the second digital data to the electronic transaction system to approve the transaction request with the electronic transaction system performing the approval and



encryption of the transaction approval within the PEAD; and printing a receipt at a remote printer (e.g. col 1 ln 40 – col 2 ln 55, fig. 71).

19. Ginter does not specifically disclose this configuration of portable device, but it stands to reason that any number of portable devices would serve to perform as in Ginter.

20. Regarding claims 19-26 –

Ginter discloses the method of claim 18, wherein: the step of encrypting the approval data is performed using a public key cryptography technique using at least a user's private key; wherein: the step of entering the product information includes using a keypad of the portable electronic authorization device to enter at least one of a product code, product name, manufacturing number, and quantity; wherein the step of entering the product information includes using a scanner of the portable electronic authorization device to scan at least one of a product code, product name, manufacturing number, and quantity; wherein the step of printing the receipt step includes establishing a connection between the portable electronic authorization device and the printer; wherein the step of establishing a connection between the portable electronic authorization device and the printer is performed by entering printer identification information into the portable electronic authorization device; wherein the step of establishing a connection between the portable electronic authorization device and the printer is performed by entering subscriber identification information into the printer; wherein the step of establishing a connection between the portable electronic authorization device and the printer is via infrared; wherein the step of establishing a

connection between the portable electronic authorization device and the printer is via short range RF (e.g. col 2 ln 20-55).

21. Examiner's note: Examiner has cited particular columns and line numbers in the references as applied to the claims above for the convenience of the applicant.

Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may be applied as well. It is respectfully requested from the applicant, in preparing the responses, to fully consider the references in entirety as potentially teaching all or part of the claimed invention as well as the context of the passage as taught by the prior art or disclosed by the examiner.

### ***Conclusion***

**22. THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).


23. A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

24. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Cristina Owen Sherr whose telephone number is 571-272-6711. The examiner can normally be reached on 8:30-5:00 Monday through Friday.

25. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Trammell can be reached on 571-272-6712. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

26. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

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